

Basel, 25.11.2014

Form 210A (10/06)

**United States Bankruptcy Court  
Southern District Of New York**

In re Lehman Brothers Holdings Inc., et al.,

Case Nos. 08-13555 (JMP)  
(Jointly Administered)



**NOTICE OF PARTIAL TRANSFER OF CLAIM OTHER THAN FOR  
SECURITY, PURSUANT TO FED. R. BANKR. P. 3001(e)(2)**

A CLAIM HAS BEEN FILED IN THIS CASE, by BNP Parisbas (Suisse) SA (the "Transferor"), against Lehman Brothers Holdings Inc., which has been designated as Claim No. 35896 (the "Claim"). Transferee (as that term is defined below) hereby gives evidence and notice, pursuant to Fed. R. Bankr. P. Rule 3001(e)(2), of the transfer, other than for security, of a ratable portion of the Claim, in the nominal amount of EUR 150,000 (the "Transferred Portion"). For the avoidance of doubt, the Transferred Portion relates to ISIN XS0210433206 only. Transferor is retaining the remaining portion of the Claim. A copy of the Evidence of Transfer of Claim (the "Evidence of Transfer") is attached hereto as Exhibit "A" and is incorporated by reference.

Name of Transferee

Bank J. Safra Sarasin Ltd

**Name and Address where notices to Transferee  
should be sent:**

Bär & Karrer AG  
Brandschenkestrasse 90  
CH-8027 Zurich  
Switzerland  
Attn: Peter Hsu  
Tel.: +41 58 261 50 00

**- with a copy to -**

Bank J. Safra Sarasin Ltd  
Elisabethenstrasse 62,  
P.O. Box  
CH-4002 Basel  
Switzerland

Attn: Frank Link, Senior Legal Counsel, Legal Front-  
and Back-Office Functions  
Tel.: +41 (0) 58 317 45 83  
Patrick Gribi, Head Legal Front- and Back-Office  
Functions  
Tel.: +41 (0) 58 317 40 67

Last Four Digits of Acct #: 4002

Name of Transferor

BNP Parisbas (Suisse) SA

**Name and Address where notices  
to Transferor should be sent:**

BNP Parisbas (Suisse) SA  
Place de Hollande 2  
P.O. Box  
1211 Geneva 11  
Switzerland  
Attn: Paul Quintas  
Tel.: +41 (0) 58 212 91 32

**- with a copy to -**

n/a

Last Four Digits of Acct. #: N/A

Name and Address where transferee payments  
should be sent (if different from above):

Bank J. Safra Sarasin Ltd  
Elisabethenstrasse 62,  
P.O. Box  
CH-4002 Basel  
Switzerland

Attn: Frank Link, Senior Legal Counsel, Legal Front-  
and Back-Office Functions

Tel.: +41 (0) 58 317 45 83

Patrick Gribi, Head Legal Front- and Back-Office  
Functions

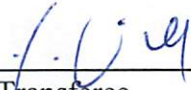
Tel.: +41 (0) 58 317 40 67

Court Claim # (if known): 35896

Date Claim Filed: October 01, 2009

Transferred Portion: EUR 150,000  
(nominal amount)

I declare under penalty of perjury that the information provided in this notice is true and correct  
to the best of my knowledge and belief.

By:   
Transferee

Name: Frank Link  
Title: Vice President

Date: 25.11.2014

By:   
Transferee

Name: Patrick Gribi  
Title: Executive Director

Date: 25.11.2014

*Penalty for making a false statement:* Fine of up to \$500,000 or imprisonment for up to 5 years,  
or both. 18 U.S.C §§ 152 & 3571.

**Exhibit A**



**BNP PARIBAS**  
**WEALTH MANAGEMENT**

**EVIDENCE OF PARTIAL TRANSFER OF CLAIM**

**TO: THE DEBTOR AND THE BANKRUPTCY OF CLAIM**

For value received, the adequacy and sufficiency of which are hereby acknowledged, **BNP PARIBAS (SUISSE) SA** ("Transferor") unconditionally and irrevocably transferred to **BANK J. SAFRA SARASIN LTD.** ("Transferee") all of its rights, title, interest, claims and causes of action in and to or arising under or in connection with the portion of its claim to the extent of the nominal amount of EUR 150'000 (**Claim No.35896**) relating to the securities with international Securities Identification Numbers listed on Schedule I hereto against Lehman Brothers Holdings, INC. (the Debtor"), Chapter 11 Case No: 08-13555 (JMP) (Jointly Administered), United States Bankruptcy Court for the Southern District of New York (the "Bankruptcy Court").

Transferor hereby waives any objection to the partial transfer of the claim to Transferee on the books and records of the Debtor and the Bankruptcy Court and hereby waives to the fullest extent permitted by law any notice or right to a hearing as may be imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, the Bankruptcy Code, applicable local bankruptcy rules or applicable law. Transferor acknowledges and understands, and hereby stipulates, that an order of the Bankruptcy Court may be entered without further notice to Transferor regarding the partial transfer of the foregoing claim and recognizing the Transferee as the sole owner and holder of the part of claim transferred. Transferor further directs the Debtor, the Bankruptcy Court and all other interested parties that all further notices relating to the part of claim transferred, and all payments or distributions of money or property in respect of the part of claim transferred, shall be delivered or made to the Transferee.

IN WITNESS WHEREOF, THIS EVIDENCE OF PARTIAL TRANSFER OF CLAIM IS  
EXECUTED ON JUNE 16, 2014.

**BNP PARIBAS (SUISSE) SA**

By:

Name: Clementz Sandra

Title: Head of Securities Administration

A blue ink signature of Sandra Clementz, written in a cursive style.

By:

Name: Quintas Paul

Title: Corporate Actions manager

A blue ink signature of Paul Quintas, written in a cursive style.



**SCHEDULE I**

**Lehman Programs Securities Related to Transferred Portion of Claim**

ISIN	Court Claim #	Date claim Filed	ISSUER	Currency and Nominal Amount
XS0210433206	35896	October 01,2009	Lehman Brothers Treasury Bv	EUR 150000

Dr. Peter Hsu  
Rechtsanwalt, LL.M.  
+41 58 261 53 94  
peter.hsu@baerkarrer.ch

BÄR  
& KARRER

**By courier**

Epiq Bankruptcy Solutions, LLC  
Attn: Lehman Brothers Holdings Claims  
Processing  
757 Third Avenue, 3<sup>rd</sup> Floor  
New York, NY 10017  
USA

Zurich, 2 December 2014  
367674/312/wed/x24176305.doc

**Bank J. Safra Sarasin Ltd**  
**Partial Transfers of Claim other than for Security, Epiq Claim No. 35896/  
ISIN No. XS0210433206**

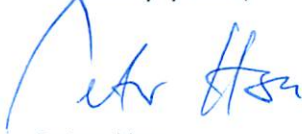
Dear Madam, dear Sir,

In the name and on behalf of the transferee Bank J. Safra Sarasin Ltd, we are sending you enclosed the following original copy of a completed 210A transfer form (Enclosure 3), including copy of the evidence of transfer of claim regarding the partial transfer of claim no. 35896 against Lehman Brothers Holdings Inc.:

- Partial Transfers of Claim other than for Security, Epiq Claim No. 35896/  
ISIN No. XS0210433206 (Enclosure 3).

The transferor is BNP Parisbas (Suisse) SA.

Sincerely yours,



Peter Hsu

Enclosure

Dr. Peter Hsu  
Rechtsanwalt, LL.M.  
+41 58 261 53 94  
peter.hsu@baerkarrer.ch

**BÄR  
& KARRER**

**By courier**

Epiq Bankruptcy Solutions, LLC  
Attn: Lehman Brothers Holdings Claims  
Processing  
757 Third Avenue, 3<sup>rd</sup> Floor  
New York, NY 10017  
USA

Zurich, 2 December 2014  
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**Bank J. Safra Sarasin Ltd  
Partial Transfers of Claim other than for Security, Epiq Claims No. 55829,  
No. 55814-27, No. 35896 and No. 51762**


Dear Madam, dear Sir,

In the name and on behalf of the transferee Bank J. Safra Sarasin Ltd (formerly Bank Sarasin & Co. Ltd), we are sending you enclosed 11 original copies of the completed 210A transfer forms, including copies of the evidence of transfer of claim regarding the partial transfer of claims (referring to claims no. 55829, no. 55814-27, no. 35896 and no. 51762) against Lehman Brothers Holdings Inc. by the following transferors:

1. Credit Suisse AG (see package 1);
2. Neue Aargauer Bank AG (see package 2);
3. BNP Parisbas (Suisse) SA (see package 3); and
4. HSBC Private Bank (Suisse) S.A. (see package 4).

As indicated above, Bank Sarasin & Co. Ltd changed its name into Bank J. Safra Sarasin Ltd. For evidence of the name change, please see a copy of the related media releases and the company's entry in the commercial register attached to the relevant packages including copies of the transfer forms where the former name has still been used in the evidence of transfer of claim (see package 1 and 2).

Sincerely yours,

A handwritten signature in black ink, appearing to read 'Peter Hsu', written in a cursive style.

Peter Hsu

Enclosures



